

SECTION 01300 — SUBMITTALS

PART 1 GENERAL

1.01 SECTION INCLUDES

- A. Submittal Procedures: General procedures, design/shop drawings and product data, calculations, and manufacturer's written instructions.
- B. Samples.
- C. Daily reports.
- D. Test reports and design data.
- E. Certificates.
- F. Manufacturer's field reports.
- G. Erection drawings.
- H. Submittal register.
- I. Substitutions

1.02 SUBMITTAL PROCEDURES

- A. General Procedures:
 - A.1 Submit drawings, product data (including material specifications and data sheets), manufacturer's instructions, maintenance manuals, and other submittals specified. Check the correctness of all submittal documents, including those of subcontractors prior to submitting them to the Contracting Officer's Representative (COR) for Contracting Officer (CO) approval. If the CO determines the Contractor's submittal to be incomplete or unacceptable, the CO will return it to the Contractor as "incomplete." Immediately resubmit a complete and acceptable submittal to the Government by the second submission.
 - A.2 No delay will be allowed in the progress of the job attributable to Contractor failure to make required submittals per the approved progress schedule and submittal register (see subpart 1.09 "Submittal Register"). Advise the COR of any submittal that may be delayed and provide a recovery schedule. Do not begin any work related to or impacted by any submittal until said submittal has been approved, or written direction to proceed has been received from the CO.

- A.3 Drawings and data, whether prepared by the Contractor or its suppliers, shall be submitted as the instruments of the Contractor. Therefore, prior to submittal, ascertain that equipment and/or materials covered by submittals meet all requirements of contract drawings and specifications and conform to structural and space conditions.
- A.4 Each submittal shall contain literature and identification for each separable and separate piece of material or equipment, with respect to job title, contract number, section number, and the specific paragraph of the specifications under which the item is to be provided. Submittals shall be numbered consecutively for each different submittal (per attached submittal register sample in appendix B).
- A.5 Provide space on all shop drawings and submittals for Contractor and Government review stamps.
- A.6 Submit three hard copies or an electronic copy of all drawings and data with the Government-furnished transmittal form completed for each submittal to the Government.
- A.7 Apply the Contractor's stamp, signed and/or initialed certifying that review, approval, verification of products required, field dimensions, adjacent construction work, and coordination of information is in accordance with the requirements of the work and contract documents.
- A.8 Submittal Review:
- A.8.a The Government will review drawings and data for conformance with the intent of the design. The approval of the drawings or data shall not relieve the Contractor from any errors of dimensions, quantities, or other errors, which may develop later. Approval of the aforementioned documents shall not relieve the Contractor from responsibility for deviations from the contract drawings and specifications unless the Contractor, in writing, specifically called attention to the proposed deviations at the time said deviations were submitted and has received approval for the deviations in writing.
- A.8.b The Government's comments and the Contractor's required action will be indicated by notation on the submittals or by inclusion in the letter of transmittal. The review comments will generally be classed as follows:
- A.8.b.1 "APPROVED," "REVIEWED," or "NO EXCEPTIONS TAKEN" Submittals so noted will generally be classed as drawings and data which appear to be satisfactory without requiring correction.
- A.8.b.2 "APPROVED AS NOTED" This category will cover drawings and data which, with the corrections noted or marked on submittal, appear to be satisfactory and require no

further Government review prior to construction. Revised drawings reflecting corrections shall be provided.

A.8.b.3 "REVISE AND RESUBMIT" Submittals so noted will require a corrected resubmittal for one or more of the following reasons. A revised submittal shall be resubmitted and approved prior to commencement of related work.

- Drawings and data require corrections, as noted, prior to final review.
- Drawings and data are incomplete and require more detailed information prior to final review.
- Drawings and data do not meet the requirement of contract documents.

A.8.b.4 "REJECTED" A submittal may be rejected if it is not in compliance with the contract documents, or if it proposes an "or equal" substitution without following the proper procedures or documentation. A superseding submittal shall be resubmitted and approved prior to commencement of related work.

A.9 Return of Submittals:

A.9.a The Government will return marked submittals to the Contractor within 14 calendar days. Note that timely reviews are dependent upon complete submittals in strict accordance with these instructions.

A.9.b One hard copy or an electronic copy of the drawings and data will be returned to the Contractor with appropriate stamps and notations. When directed, make indicated changes and corrections, promptly resubmitting three hard copies or an electronic copy as many times as required to obtain approval.

A.10 Contractor Resubmittal:

A.10.a When revised for resubmission, identify all changes made since previous submission.

A.10.b Distribute copies of reviewed submittals to subcontractors as appropriate. Instruct parties to promptly report any inability to comply with requirements.

B. Shop Drawings:

B.1 Submit shop drawings as required by various sections of these specifications, or as the Government otherwise requests, for review in accordance with the instruction herein.

B.2 Submit shop drawings for proposed rearrangements of equipment and materials, and for substitutions in equipment and materials, which differ from those detailed on the

contract drawings in accordance with this section and section 01039 "Coordination and Meetings." These shop drawings shall be uniform and conform to the contract drawings in quality, size, and detail. All costs resulting from such substitutions shall be the Contractor's responsibility.

- B.2.a Because of the diagrammatic nature and small scale of the drawings, all necessary offsets, adjustments, and transitions required for the complete installation may not be shown. Carefully investigate the structural and finish conditions affecting the work and arrange such work accordingly, providing such fittings, equipment, accessories, and like items, as may be required to meet such conditions, at no additional cost to the Government.
- B.2.b Where the drawings are diagrammatic, showing only the general arrangement of the systems, fit materials and equipment to other parts of the equipment and make adjustments as necessary or required to resolve space problems and preserve service room. In the event a major rerouting of a system appears necessary, prepare and submit for approval, shop drawings of the proposed rearrangement.
- B.2.c Should unavoidable conflicts be encountered during the preparation or review of the shop drawings, or during construction, promptly bring them to the attention of the CO, in writing, for resolution.
- B.2.d Prepare or have prepared detailed shop drawings in plan view, with cross-sections as necessary, indicating proposed installation plans. These drawings shall depict actual elevations and linear dimensions, and all routing changes, transitions, and major offsets deemed necessary to accomplish the installation. Individual shop drawings may be prepared for each trade working within the designated space or area; however, coordination of the consolidated installation shall remain the responsibility of the Contractor. Submit these shop drawings for CO review and approval prior to installation, and provide copies to each installer having work in the area.
- B.3 All shop drawings shall be independently checked and signed.
- C. Product Data:
 - C.1 Submit product data as required by various subparts of this section, or as the Government otherwise requests, for review in accordance with the instruction herein.
 - C.2 Product data shall be annotated to clearly indicate make, model, and/or identification numbers of items being submitted for approval.
- D. Calculations:
 - D.1 Use good form and legible lettering in recording all calculations. Prior to listing the actual calculations, state all known parameters, along with all references, formulae, assumptions, and constants used. Make all calculations on 8-1/2 x 11-inch

computation paper. All calculations shall be project specific and shall be approved and stamped by a professional engineer/architect registered/licensed to practice in the State of California. Do not submit generic or "boilerplate" calculations.

- D.2 Standard, recognized computation techniques, including use of computer codes, shall be used; shortcut methods and rules of thumb are not acceptable. Present the computations in well-indexed document form. The names (not initials) of the engineer/architect shall appear on each handwritten sheet along with the date of origin. Each computation shall be independently checked for reasonableness of result and proper methodology by an engineer/architect having professional credentials (i.e., registered Engineer or Architect).

- E. Manufacturer's Written Instructions: Where any materials are specified to be installed "according to manufacturer's written instructions," the Contractor shall submit three hard copies or an electronic copy of such required instructions at time required in the submittal register. Indicate special procedures, perimeter conditions requiring special attention, and special environmental criteria required for application or installation.

1.03 SAMPLES

- A. Samples For Review: Submit samples to the Contracting Officer's Representative (COR) for Government review for the limited purpose of checking for conformance with information given and the design concept expressed in the contract documents.
- B. Samples For Information: Submit samples to the COR for Government information only.
- C. Samples For Selection:
- C.1 Submit samples to the COR for aesthetic, color, or finish selection by the Government.
- C.2 Submit samples of finishes from the full range of manufacturers' standard colors, textures, and patterns for Government selection and verification of quality and utility.
- C.3 After review, produce duplicates of Government selections and distribute in accordance with subpart 1.02 above.
- D. Submit samples to illustrate functional and aesthetic characteristics of the product, with integral parts and attachment devices. Coordinate sample submittals for interfacing work.
- E. Include identification on each sample, with full project information.

- F. Submit the number of samples specified in individual specification sections; one of which will be retained by the Government.
- G. Reviewed samples which may be used in the work as indicated in individual specification sections.
- H. Samples will not be used for testing purposes unless specifically stated in the specification section.

1.04 DAILY REPORTS

- A. Submit one copy of construction daily reports to the COR at the end of each business day.
- B. Include current activities in progress and areas worked, crew sizes by craft, weather conditions for that day, tests and inspections which occurred that day, and major equipment and material deliveries, and a summary of quality problems, non-conformances and resolutions, when applicable.
- C. Submit copies of pre-task safety planning reports on a daily basis as required in the approved safety plan.

1.05 TEST REPORTS AND DESIGN DATA

- A. Submit for Government review.
- B. Submit test reports and design data for assessing conformance of tested items/components with the design concept expressed in the contract documents.

1.06 CERTIFICATES

- A. When specified in individual specification sections, submit certification by the manufacturer, installation/application subcontractor, or the Contractor to the COR, in quantities specified for product data for review.
- B. Indicate material or product conforms to or exceeds specified requirements. Submit supporting reference data, affidavits, and certifications as appropriate.
- C. Certificates may be recent or previous test results on material or product, but Government approval is required.

1.07 MANUFACTURER'S FIELD REPORTS

- A. Submit reports to the COR for CO review in duplicate within 5 calendar days of observation.

- B. Review for the limited purpose of assessing conformance with information given and the design concept expressed in the subcontract documents.

1.08 ERECTION DRAWINGS

- A. Submit drawings to the COR for CO review for the limited purpose of assessing conformance with information given and the design concept expressed in the contract documents.
- B. Data indicating inappropriate or unacceptable work may be subject to rejection by the Government.

1.09 SUBMITTAL REGISTER

- A. Establish a schedule and procedure for the submittal of shop drawings and product data which will ensure their timely submittal, review, and approval or review, return, and resubmittal. Identify critical submittals and shop drawings on the construction progress schedule. (See sample submittal register in appendix B).
- B. Submit within 14 calendar days of notice to proceed, a comprehensive submittals register. This listing shall not be construed as limiting the type and number of Contractor submittals, which may be required or advisable in order to facilitate the correct execution of the work. Further description of required submittals shall be as stated in other specification sections. Additional submittals include such items as mockups, installer qualifications, calculations, certifications, and other submittals not specifically categorized.

1.10 SUBSTITUTIONS

- A. Submittal Procedures:

- A.1 Substitutes for Specified Items: Wherever catalog numbers and specific brands or trade names followed by the designation "or equal" are used in conjunction with a designated material, product, thing, or service mentioned in these specifications, they are used to establish the standards of quality, utility, and appearance required. Substitutions are subject to the following provisions:

- A.1.a Submit all substitutions in writing, for Government approval. For this purpose, submit to the CO within 14 calendar days after the date of commencement specified in the Notice to Proceed, a typewritten list containing a description of each proposed substitute item or material.

- A.1.b Append to this list sufficient data, drawings, samples, literature, or other detailed information as will demonstrate to the Government that the proposed substitute is equal in quality, utility, physical size, and appearance to the item or material specified.

- A.1.c The Government will approve, in writing, such proposed substitutions as are determined by the Government to be equal in quality, utility, and appearance to the items or material specified. Such approval will not relieve the Contractor from complying with the requirements of the drawings and specifications, and the Contractor shall be responsible at its own expense for any changes resulting from proposed substitutions that affect other parts of its own work or the work of other Contractors.
- A.1.d Contractor failure to submit proposed substitutions for approval in the manner described above and within the time prescribed shall be sufficient cause for disapproval by the Government of any substitutions otherwise proposed.
- A.1.e Wherever catalog numbers and specific brands or trade names not followed by the designation "or equal" are used in conjunction with a designated material, product, thing, or service mentioned in these specifications, no substitutions will be approved.
- A.1.f If the use of substitute products or materials involves redesign of other parts of the work, the redesign will be performed by the Government's design agency and the cost will be charged to the Contractor. If this substitution is found to affect the work of others on the project, the cost of this additional work of others will also be charged to the Contractor.
- A.2 Wherever one manufacturer's product is specified, that named product is the basis for the project design and the use of alternative "or equal" manufacturers' products or substitutes may require modifications in the project design and construction. If such alternatives proposed by the Contractor are favorably reviewed by the Government, assume costs required to make necessary revisions and modifications including additional costs to the Government for evaluations of modification of the project design submitted.
- A.2.a When materials are specified by manufacturer's name and product number, "or equal," submit manufacturer's products in accordance with the requirements for substitute items.
- A.2.b If the Government, in review of the list of materials and equipment, requires revisions or corrections to be made or shop drawings and/or supplemental data to be submitted, promptly do so. If any proposed substitute is judged by the Government to be unacceptable, provide the specified item; further submissions will not be allowed, unless directed by the Government.
- A.2.c Physical samples may be required. If tests for the determination of quality and utility are required by the Government, they shall be made by a testing laboratory, with acceptance of the test procedure first given by the Government, and at the expense of the Contractor.

B. Documentation Procedures:

- B.1 Provide an itemized comparison of proposed substitution to the item specified. Provide, in a tabular form the differences in materials, size, finish, estimated life, estimated maintenance, availability of spare parts and repair services, energy consumption, performance capacity, salvageability, and manufacturer's warranties. Include the following:
- B.1.a Identification of materials, products or supplies, including manufacturer's name, catalog name and number, and the manufacturer's address and telephone number.
 - B.1.b Installation characteristics, installation drawings and manufacturer's literature, including product description, performance and test data, and reference standards if pertinent.
 - B.1.c Name and address of projects on which the product was used under similar circumstances, and date of installation.
 - B.1.d Effect of change on construction schedule. Demonstrate redesign due to substitution will not alter construction schedule.
 - B.1.e Accurate cost data for the proposed substitution in comparison with the product specified.
 - B.1.f Equitable adjustment and credit which the Contractor proposes to offer the Government.
 - B.1.g When applicable or requested by the Government, provide off-the-shelf samples of the specified item and the proposed substitution.
 - B.1.h Description of how this substitution impacts other related systems and work of others.
- C. Contractor Certification: Certify the following when making a request for substitution:
- C.1 The Contractor has personally investigated the proposed item and believes it to be equivalent, or superior, to that shown or specified; and the Contractor shall update the information as new or different data becomes known.
 - C.2 The Contractor shall furnish the same guarantee for the substitution as for the product specified.
 - C.3 The Contractor shall coordinate the installation of the accepted substitution into the work, and will make those changes, subject to approval by the Government, required for the work to be complete in all respects.

C.4 The Contractor waives all claims for additional costs related to the substitution.

C.5 Cost data are complete, including related costs, except the costs of the Government for redesign or review of the Contractor's design.

PART 2 PRODUCT

Not used

PART 3 EXECUTION

Not used

END OF SECTION